

NEW BEGINNINGS

Introduction to the DoD Performance Management and Appraisal Program (DPMAP)



Welcome

Why we are here:

- To learn about the new Defense Performance Management Appraisal Program (DPMAP).**
- Gain understanding of employee responsibilities and performance expectations.**
- Prepare/participate in the Appraisal process.**



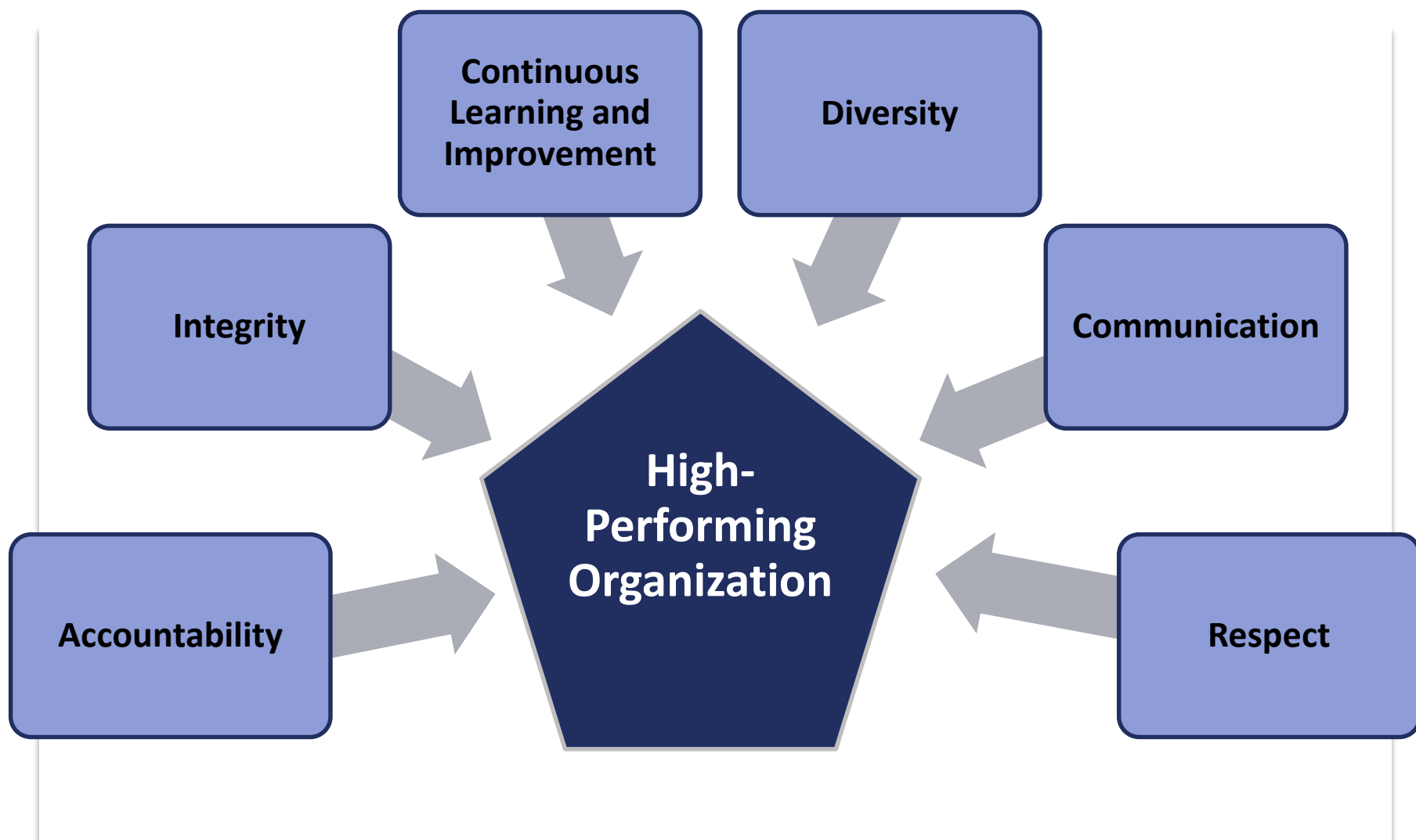
Performance Management Overview

- ½ day course

- Key Topics
 - ☐ Overview
 - ☐ Engaged Employees
 - ☐ Planning Performance
 - ☐ Continuous Feedback
 - ☐ Monitoring Performance
 - ☐ Evaluating Performance

- Nothing in DPMAP changes the rights of employees, unions, or management
- Performance Management is the systematic process by which an Agency involves its employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of Agency mission and goals. (5 CFR §430.102)
- Performance management is:
 - **Planning** work and setting expectations
 - **Monitoring** performance continually
 - **Evaluating** performance in a summary fashion

High-Performing Organizations



Key Performance Management Features



5
3
1

Performance Appraisal Cycle

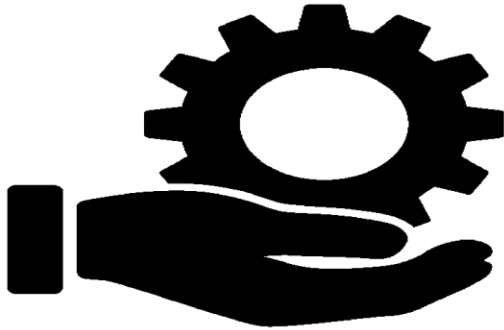
**April 01
through
March 31**

**Minimum of
THREE
Performance
Discussions are
Required
BUT MORE
RECOMMENDED**

Three-Level Rating Pattern

**Outstanding (5)
Fully Successful (3)
Unacceptable (1)**

Key Performance Management Features



Fosters Cultural and
Attitudinal Change



Automated Performance
Appraisal Tool

DoD Performance Management Model



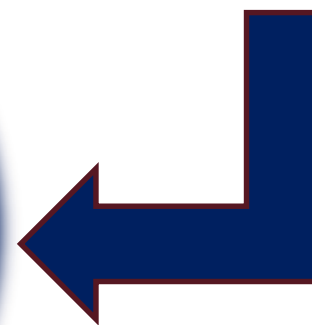
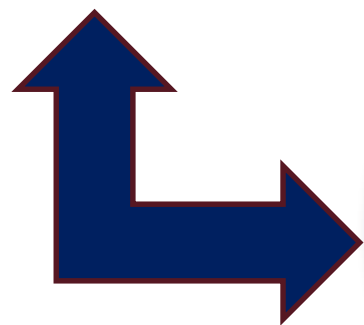
- Performance management is the integrated process by which an agency involves its employees in improving organizational effectiveness in the accomplishment of agency mission and strategic goals
- Organizational effectiveness is defined as how well an organization is able to meet its goals
- Credibility, transparency, equity, and accountability enhance organizational effectiveness
- Effective performance management can significantly improve organizational success

COLLABORATIVE

- Two-way
- Supervisors provide instruction, but employees are encouraged to provide feedback
- Upward feedback

DIRECTIVE

- Top-down thinking
- Supervisors provide instruction, employees carry out the task



What Is Employee Engagement?

U.S. Merit System Protection Board research identified six themes important to Federal employees. They are:

A heightened connection among employees, their work, their organizations, and the people with whom they work, including supervisors

1. Pride in one's work or workplace

4. Satisfaction with leadership

2. Opportunity to perform well at work

5. Satisfaction with the recognition received

3. Prospect for future personal and professional growth

6. A positive work environment with a focus on teamwork

MSPB Source: The Power of Federal Employee Engagement by the U.S. Merit Systems Protection Board
<http://www.mspb.gov/netsearch/viewdocs.aspx?docnumber=379024&version=379721&application=ACROB>

Supervisor-Employee Engagement



Supervisor-Employee Roles and Responsibilities

- Supervisors and employees, when effectively collaborating, can greatly impact organizational effectiveness
- Open communication is beneficial to building employee engagement
- Three key roles for employees to help their supervisors:

Team Empowerment	Upward Coaching	Upward Feedback
<ul style="list-style-type: none"> Maintain team cohesion Understand what others on the team do Share their sense of the team's strengths and areas for improvement Share their understanding of the team's biggest challenges 	<ul style="list-style-type: none"> Understand both the team's and their responsibilities Share the best informal ways of getting things done Share the team's long-term work goals Teach their supervisors a new skill, concept, process, or procedure 	<ul style="list-style-type: none"> Give their supervisors constructive feedback Give feedback on their supervisors' ideas Sharing their understanding of the supervisors' strengths and areas for improvement

Wrap-up Discussion: **Engaging and Disengaging Behaviors In Your Workplace**

➤ What have you seen in your own workplace that...

☐ Engages people?

☐ Disengages people?



Planning Performance: Setting the Standards

What we'll cover:

- Performance planning phase and its importance to the success of the performance management process.
- How to link your work performance plan to your organization's mission and core values.
- How to write performance standards for the performance plan using the SMART concept.
- Discuss tools and techniques used to finalize the performance plan.

- Ongoing
- Supervisors and employees **share** responsibility
- Consist of:
 - ✓ Proactively **planning** work and setting expectations
 - ✓ Continually **monitoring** performance
 - ✓ **Evaluating** performance in a summary fashion



The Importance of Planning

- ✓ Plan work, set expectations for future results
- ✓ Connect employee's work to the DoD mission and how it cascades down to the employee
- ✓ Increase awareness of expectations and results
- ✓ Provide a sense of ownership in the plan
- ✓ Create a better understanding of performance and evaluation standards

Planning Phase

Effective performance planning is a result of employee and supervisor engagement that provides opportunity for employee input in establishing ongoing communication and establishment of a mutual understanding of performance expectations and organizational goals throughout the performance appraisal cycle

Planning Phase Roles and Responsibilities

Employees:

- Identify achievable performance elements and standards for themselves
- Provide input to supervisor regarding the performance plan
- Ask questions to clarify the supervisor's expectations of their performance

Supervisors:

- Compile list of tasks
- Establish appropriate performance elements
- Establish quantifiable and measureable standards
- Communicate approved performance plan to employee and how performance expectations link to organizational goals
- Encourage continuous, meaningful two-way communication
- Proactively communicate the plan to the employee
- Provide a copy of the approved performance plan
- Conduct performance planning discussions
- Modify the performance plan, as needed

- Performance elements describe what work is to be performed
 - ☐ Performance plans must have a minimum of one critical performance element, maximum of 10, and each performance element must have associated standards that define expectations
 - ☐ The number of supervisory performance elements on performance plans for supervisors will equal or exceed the number of non-supervisory (technical) performance elements
 - ☐ An organization *may* have standardized performance elements

DoD Instruction 1400.25, Vol. 431

- Standards describe how the requirements and expectations provided in the performance elements are to be evaluated
 - ☐ Should be written using SMART criteria
 - ☐ Must be written at “Fully Successful” level for each performance element
 - ☐ Avoid using absolute standards (e.g., 100 percent, always, or never) unless critical to life and safety

DoD Instruction 1400.25, Vol. 431

Are the standards applicable?

- Can the supervisor use the standards to appraise performance?
- The standards should clearly describe the factors that the supervisor would look for and how well those factors should be done

Standards should specify:

- Quality
- Quantity
- Timeliness
- Cost-effectiveness

Can the supervisor effectively use the data collected?

- If monitoring performance on the performance element is too costly or time-consuming, the standard might need to be altered to include more manageable standards

Are the standards achievable?

- Are expectations reasonable?
- Research has shown that setting expectations that are impossible or nearly impossible to achieve can actually cause performance levels to drop because employees tend to give up if they perceive the goal as impossible

Are the standards fair?

- Are they comparable to expectations for other employees in similar positions?
 - Applying different standards to employees doing the same work does not appear on its face to be fair or valid
 - Requiring higher-level management review of standards for similar work across an organization may be one way of ensuring equity

- Do the standards allow for some margin of error?
 - Requiring perfection is not fair in most instances

Can the Fully-Successful be surpassed?



Is it possible for an employee's performance to exceed the standard?

By including “Fully Successful” standards that cannot be surpassed, the performance plan effectively eliminates the opportunity for the employee to obtain a higher assessment

Are performance elements and standards adjustable?

- Can they be adapted readily to changes in resources?
- Performance elements and standards can be modified during the performance appraisal cycle to meet changing organizational goals and other situations
 - As long as the employee works under the new standards for at least 90 days
- This flexibility allows performance plans to be used as management tools to manage employee performance on a day-to-day and week-to-week basis

Writing SMART Standards

S Specific

M Measurable

A Achievable

R Relevant

T Timely

S

Specific: stated as simply, concisely, and explicitly as possible.

- Defined as specific behaviors, efficiencies, or results
- Concrete and job-related
- Stated in active voice with one action verb

Example: Type written communications for the division.

M Measurable: Outcome-oriented, reflecting the most important aspects of performance

- Should be able to
- Evaluate objectively
 - Identify criteria for success and failure
 - Provide a number or percent that can be tracked

Example: Type written communications for the division **with less than 3 errors per page.**

A Achievable: Can be accomplished with available resources

- Should be:
- Realistic requirements
 - Appropriate amount of work/responsibility
 - Feasible according to the employee's competencies and the organization's resources

Example: Type written communications for the division **according to the unit's established guidelines** with no more than than 3 errors per page.

Writing SMART Standards

R

Relevant: the standard is important to the employee and the organization.

➤ Should be:

- Consistent with the employee's role in the workplace.
- Aligned with the employee's skills, knowledge, and ability needed to reach fully successful
- Made clear to employee that task is important to success of the organization

T Timely: Change within acceptable timeframe

- Should be:
- State when task should be completed.
 - Express as a clear and unambiguous timeframe.
 - Plausible according to average workload.

Example: Type written communications for the division according to the unit's established guidelines, with no more than 3 errors per page and **no less than 80% completed on time.**

Example 1: SMART Standards

1. Provide relevant, timely, all-source intelligence reporting

Complete analysis of effects of UN-imposed sanctions on Iraqi industrial sector and present results in appropriately coordinated intelligence report for release to policy-making community by 31 August. Product will reflect engagement with other analysts and stakeholders, and incorporate their coordinated views. The completed product will make use of available intelligence from at least 90% of relevant sources as dictated by ICD 203.2 and reflect engagement with other stakeholders in the subject of the analysis.

Timely

Specific

Relevant

Measurable/
Achievable

Example 2: SMART Standards

2. Provide accurate, timely customer service

Upon receipt of requests, provide accurate responses in the agreed-upon timeframes, as defined by ICD 24.8, using the appropriate format identified in SOP25 during the performance appraisal cycle ending March 31, 2017. This supports the organization's commitment to be responsive to customers and clients. Meet suspenses 90% of the time.
Provide accurate responses with no more than 2 errors per request.

Timely

Specific

Relevant

Measurable/
Achievable

Performance Plan

All of the written, or otherwise recorded, performance elements and standards that set expected performance. The plan must include critical performance elements and their standards. Each employee must have a written performance plan established and approved normally with **30** calendar days of start of the performance appraisal cycle, or employee's assignment to a new position or set of duties.

DoD Instruction 1400.25, Vol. 431

Will employees understand what is required?

- If the standards are generic, have they been supplemented with specific information so that employees know what they have to do to demonstrate “Fully Successful” performance?
- Performance elements and their standards should be written clearly and be specific to the job

Is the Fully Successful performance level clearly understood by the supervisor and employee?

Are the expectations established in the performance elements and standards quantifiable, observable, and/or verifiable?

Expectations that are specific and that clearly define what must be done and how well it must be done are more effective for managing and directing performance than vague or general expectations

Employees must know what they have to do and how well they have to do it to perform at a Fully Successful level

Revising the Performance Plan

A change to the Performance Plan may be needed if there:

Are there new organizational goals

Is a change in assignment(s), position, or duties

Are outside influences beyond an employee's control that make the original performance elements unachievable

Is a change in assumptions about what can be reasonably achieved during the performance appraisal cycle

Are new priorities

Are shifts or changes in mission

- ✓ **Minimum 90 calendar days for:**
 - **monitoring of approved performance plans**
 - **employee performance of new performance elements**

DoD Instruction 1400.25, Vol. 431

Finalize Performance Plan

After discussion(s), finalize a written performance plan

It's important that both the supervisor and the employee understand the performance plan, even if not in agreement

Plans must be clearly communicated to and acknowledged by employees

Performance Plan Checklist

➤ When developing a performance plan, ask:

Is the Fully Successful performance level clearly understood by supervisor and employee

Are the standards achievable?

Are the standards fair?

Are the standards applicable?

Will employees understand what is required?

Are the performance elements and standards adjustable?

Can the “Fully Successful” level be surpassed?

Meeting Between the Supervisor & Employee

- Communicate how performance elements and standards relate back to organizational goals
- Share feedback on the performance elements and standards

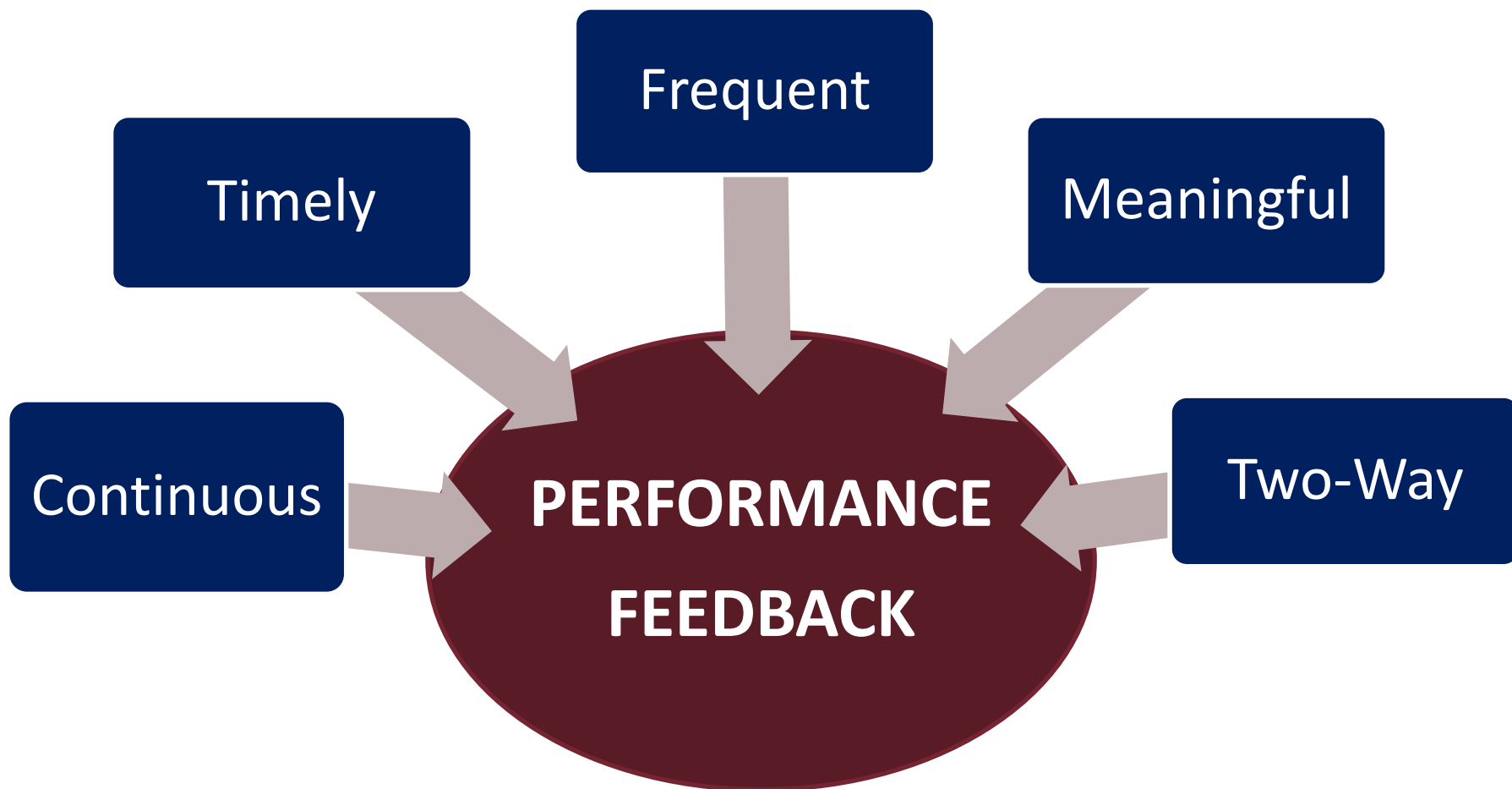


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NEW BEGINNINGS

Continuous Feedback

Relationship Between Effective Performance Management and Performance Feedback



What is Performance Feedback ?

Performance feedback is the two-way, meaningful exchange of information between supervisors and employees regarding performance expected and performance exhibited



Why Is Feedback Important?

- Beneficial for both supervisors and employees
- Promotes an understanding of the issue/topic/concern
- Makes the other person aware of one's perspective

Performance Context	Developmental Context	Personal Context
Feedback provides employees and supervisors with the other's perspective of what's working (or not)	Feedback provides opportunities to improve competence, to learn, and to progress in careers	Feedback can improve the quality of relationships

Examples of Effective Feedback Techniques

TYPE	EXPLANATION	EXAMPLE
"When you ..."	State specific facts of behavior - (non-judgmental)	???
"I'm concerned ..."	Describe how behavior affected you or the office.	???
"Because I ... "	State why the observed behavior affected you in this way.	???
Pause and listen for response	Ask if the other person has ideas about what to do. Give the other person an opportunity to respond.	???
"I would like ... "	Describe what change you want the other person to consider.	???
"Because ... "	State why the change is needed.	???
"What do you think ... "	Listen to response. Discuss options and compromise on a solution, if necessary.	???

Situation:

“Joe, in last week’s performance discussion, while I was sharing my accomplishments,

Behavior:

you picked up your phone and started texting.

Impact:

I felt like our discussion was not important enough for you to give me your full attention.”

Giving and Receiving Feedback

- What are some difficulties in giving feedback to employees on their performance?
- What are some difficulties in receiving feedback?
- What is the most important part of giving performance feedback?
- Why is it important to receive feedback?
- What are some ideas for overcoming challenges of giving and receiving feedback?

Feedback Guidelines for the Feedback“er”

- ✓ Be specific and factual; don't evaluate or judge
- ✓ Separate observations about behavior from the impact of the behavior
- ✓ Check for clarity to ensure that the receiver fully understands what's being conveyed
- ✓ Refer to behaviors about which the receiver can do something
- ✓ Provide timely feedback after the behavior

Feedback Guidelines for the Feedback“ee”

- ✓ Just Listen
- ✓ Don't interrupt
- ✓ Don't get defensive
- ✓ If things get awkward or too emotional, don't respond and ask for a break. But be sure to re-connect with person giving feedback



“Thank you for the feedback.”

A vertical graphic on the left side of the slide, featuring a stylized American flag with white stars on a blue field and red and white stripes.

NEW BEGINNINGS

Monitoring Performance

Upon completion of this lesson, you will be able to:

1. Identify key aspects of the Monitoring Phase.
2. Explain the value of monitoring performance continually.
3. Explain the process used to address performance issues.
4. Identify elements of a formal Performance Improvement Plan (PIP).

Monitoring

The ongoing assessment of performance compared to the stated expectations and ongoing feedback to employees on their progress toward reaching their goals

DODI Instruction 1400.25, Vol. 431

Monitoring Phase

Two-Way Communication

Emphasize Organizational Goals

Frequent Performance Discussions

Focus on Performance

Early Detection of Performance Issues

Employees

- ✓ Ask questions
- ✓ Engage in self-development
- ✓ Keep supervisor informed on outcomes
- ✓ Provide input during performance discussions
- ✓ Identify changes to performance elements as appropriate
- ✓ Identify challenges impeding ability to be successful
- ✓ Work with supervisor to find solutions to barriers to success
- ✓ Keep a record of their accomplishments so that they are able to discuss them throughout the cycle

Effective communication includes *two-way, ongoing, and meaningful feedback* that contributes to the overall success of the employee and the organization

- Individual performance expectations are linked to organizational goals
- Each employee is responsible for individual success
- Employees and supervisors openly discuss individual performance goals and expectations

**Upward feedback from employee to supervisor can benefit
both *supervisors and employees*
in an effective performance management program**

➤ **Upward feedback:**

- ✓ **Strengthens working relationships between supervisors and employees**
- ✓ **Improves two-way communication**
- ✓ **Increases morale and job satisfaction**
- ✓ **Enhances organizational goal achievement**
- ✓ **Identifies and helps to remove barriers**
- ✓ **Encourages proactive engagement**
- ✓ **Allows for jointly consideration of the bigger picture**

Internal

- Motivation, perception, competence, work-life imbalance . . .

External

- Resources, training and development, unclear standards, lack of meaningful feedback . . .

Systemic

- Disparate treatment, lack of supervisor accountability, inconsistent recognition and award system . . .

Revise the Performance Plan in the Monitoring Phase

Revise when:

- ✓ Organizational goal or mission changes
- ✓ Assignment(s), position, or duties change
- ✓ Outside influences beyond an employee's control make the original performance standards unachievable
- ✓ Assumptions about what can be reasonably achieved during the performance appraisal cycle changed

NOTE: Minimum 90 day employee monitoring period for new/changed elements per DOD 1400.25 Vol 431, 3.2.d

- Employee input is strongly encouraged to ensure supervisors have a full range of information when evaluating employee accomplishments
- Employee input should:
 - ☐ Identify accomplishments in a clear, concise manner
 - ☐ Describe how accomplishments relate to the performance elements and standards
 - ☐ Demonstrate how accomplishments contributed to organizational goals



Steps to be followed for Addressing Performance Issues

Provide scheduled performance discussions;

Identify and document performance deficiencies;

Counsel employee on performance deficiencies;

Provide time for improvement

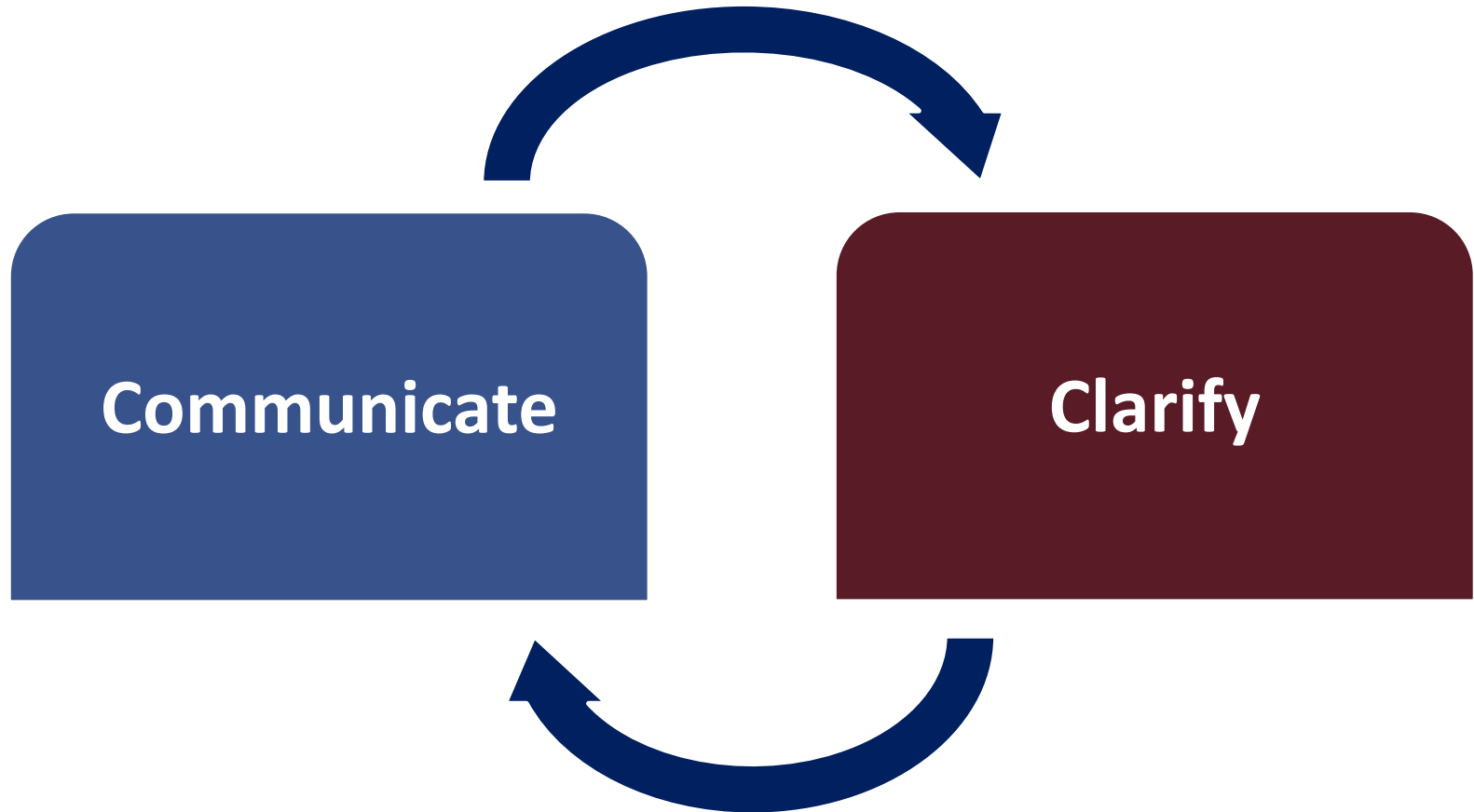
*If still unacceptable, consider a PIP

If still unacceptable, personnel action may result

***NOTE: refer to Collective Bargaining Agreements, and contact HR before taking this step**

How Employees Can Improve Performance?

- ✓ Ask clarifying questions
- ✓ Ask for specific examples of “Fully Successful” performance
- ✓ Request additional job-related training or assistance
- ✓ Adhere to responsibilities outlined in the PIP document; actively seek assistance when needed



- Failure to take immediate action with employee issues could mean:

Damaging Office Morale

- Creates issues with other employees; projects image of ineffective leadership from supervisor

Disciplinary Issues

- Discipline issues are usually symptoms of performance issues

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NEW BEGINNINGS

Evaluating Performance

Learning Objectives

Upon completion of this lesson, you will be able to:

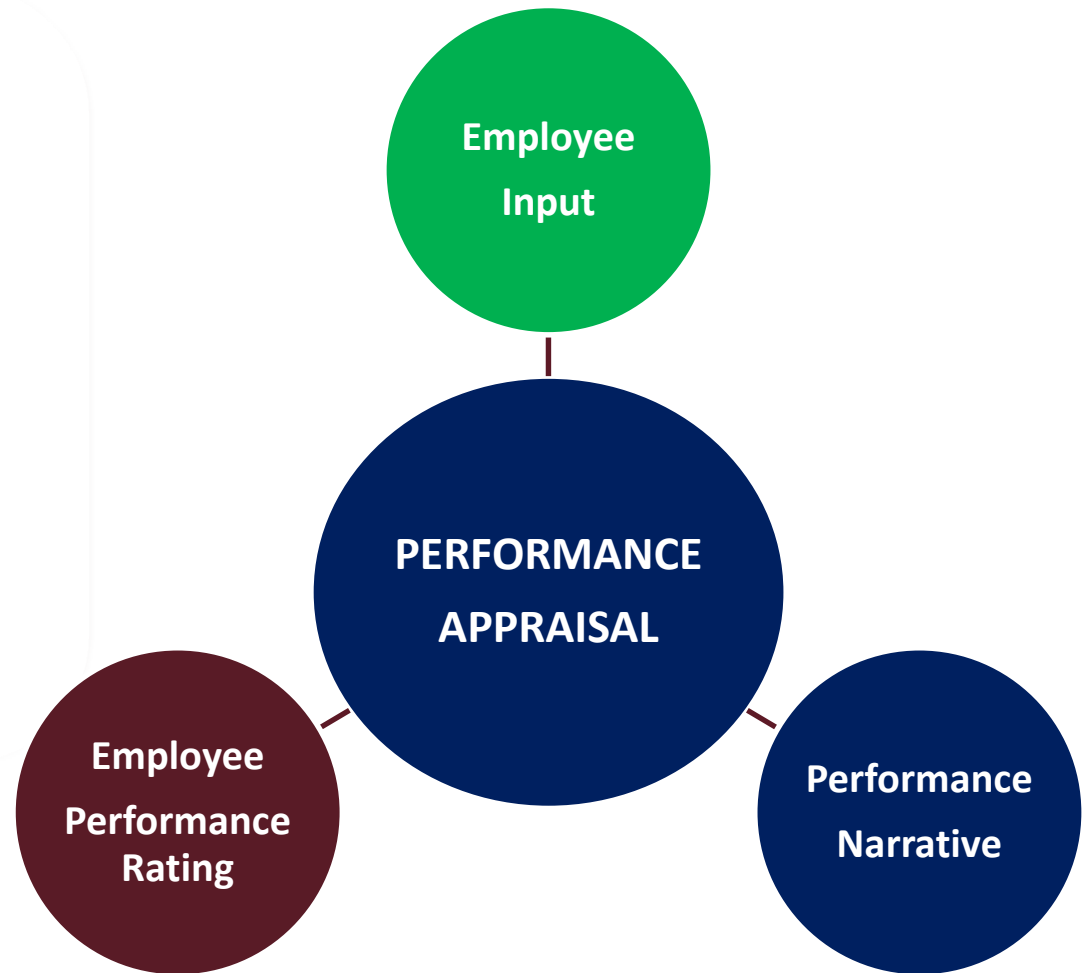
- Recognize important facets of the Evaluating Phase.
- Describe how employees' inputs benefit the final performance appraisal discussion.
- Explain how to prepare for the performance discussion.

Evaluating Performance

Evaluating performance entails assessing performance against the performance elements and standards in the employee's approved performance plan and assigning a rating of record based on work performed during the appraisal cycle

DoD Instruction 1400.25, Vol. 431

- ✓ Prepared and documented in the *MyPerformance* Tool on DD 2906
- ✓ Performance Appraisal Cycle *01 April to 31 March*
- ✓ Performance Ratings
 - *5 - Outstanding*
 - *3 - Fully Successful*
 - *1 - Unacceptable*



(5) OUTSTANDING

- The average score of all performance element ratings is 4.3 or greater, with no element being rated a “1”, resulting in an overall rating of record that is a “5”.

(3) FULLY SUCCESSFUL

- The average score of all performance element ratings is less than 4.3, with no element being rated a “1”, resulting in an overall rating of record that is a “3”.

(1) UNACCEPTABLE

- Any performance element rated as a “1”.

- ✓ At the end of the appraisal cycle, an employee’s performance is rated by his or her supervisor against the employee’s performance plan
- ✓ Employee must be provided a written rating of record and been under an approved performance plans for 90 calendar days during the

SAMPLE Performance Rating Narratives

Level 5 - Outstanding

- Produces exceptional results or exceeds expectations well beyond specified outcomes
- Sets targeted metrics high and far exceeds them (e.g., quality, budget, quantity)
- Handles roadblocks or issues exceptionally well and makes a long-term difference in doing so
- Is widely seen as an expert, valued role model, or mentor for this work
- Exhibits the highest standards of professionalism

Level 3 – Fully Successful

- Effectively produces the specified outcomes, and sometimes exceeds them
- Consistently achieves targeted metrics
- Proactively informs supervisor of potential issues or roadblocks and offers suggestions to address or prevent them
- Achieves goals with appropriate level of supervision

Level 1 - Unacceptable

- Does not meet expectations for quality of work; fails to meet many of the required results for the goal
- Is unreliable; makes poor decisions; misses targeted metrics (e.g., commitments, deadlines, quality)
- Lacks or fails to use skills required for the job
- Requires much more supervision than expected for an employee at this level

Evaluating Phase Roles and Responsibilities

Employees

- Provide input
- Include each performance element
- Restate understanding of these performance elements
- Highlight all of the most significant achievements
- Make the connection accomplishment > result > impact on the organization
- Note challenges, how they were resolved, and lessons learned

Supervisors

- Request and consider employee input
- Consider obstacles encountered and overcome
- Prepare a written narrative and rating on each performance element
- Make meaningful distinctions based on performance; foster and reward excellent performance; address performance issues
- Clearly communicate approved and finalized ratings

Employee Input and Supervisor Evaluation

Employee Input

- Written by employees about themselves
- Compares performance during the appraisal cycle to performance elements and standards
- Provides opportunity for employee to state accomplishments and impact
- Focuses on employees' perception of their strengths and improved performance
- Emphasizes organizational impact of performance
- Makes supportable distinctions in performance above Fully Successful level (if applicable)
- Includes awards, recognitions, and compliments received during the appraisal cycle

Supervisor Evaluation

- Written by supervisors about employee performance
- Compares employee input, if completed, and performance elements and standards
- Provides employees with meaningful, constructive, and candid feedback
- Focuses on supervisors' assessment of strengths, improvement notes, and areas for improvement
- Emphasizes organizational impact of performance
- Makes meaningful distinctions in performance and provides supporting documentation of the recommended rating (if applicable)
- Includes observations made by other managers, supervisors, customers, or peers

- Conducting successful performance discussions requires preparation
- Supervisors may use the following steps to prepare:

Gather the
material



Review and
write



Schedule
the meeting

When writing your narrative, you should consider:

- Responsibilities and Duties
- Performance
- Developmental Needs

Gather the material



Review and write



Schedule the meeting

Schedule the Meeting

When scheduling performance discussions, supervisors set the date, time, and location of the meeting with the employee



Note: Per DODI 1400.25, volume 431, a rating record of “Unacceptable” must be reviewed and approved by a higher level reviewer. Supervisors should be sure to familiarize themselves with and follow local policy before they communicate the rating to an employee. Supervisors should contact their Employee Relations Specialist in Human Resources prior to rating an employee as “Unacceptable.”

Gather the material



Review and write



Schedule the meeting

Performance Discussions

- DPMAP requires *three* performance discussions between supervisor and employee during the performance appraisal cycle.

THEY ARE:



- In addition to those required, *more frequent and meaningful periodic discussions between supervisors and employees are HIGHLY encouraged. They help to:*

- ✓ Understand expectations toward goals
- ✓ Facilitate supervisor-employee engagement
- ✓ Increase the amount of feedback
- ✓ Contribute to a more complete and accurately documented appraisal
- ✓ Encourage supervisors to recognize and reward deserving employees in a more timely manner

- All performance discussions should be given sufficient, uninterrupted time, in a suitable private location, and results documented

- A rating of record is official even if the employee does not sign it
- If possible, differences should be resolved informally
- If they cannot be resolved, the employee:
 - May raise issues related to the performance appraisal process through the administrative grievance system or, where applicable, the negotiated grievance procedure
 - Has the right to appeal performance-based actions
 - Title 5, Code of Federal Regulations §432 and §752



Additional Resources

- DODI 1400.25, Volume 410, *DoD Civilian Personnel Management System: Training, Education, and Professional Development.*
- DODI 1400.25, Volume 431, *DoD Civilian Personnel Management System: Performance Management and Appraisal Program.*
- DODI 1400.25, Volume 451, *DoD Civilian Personnel Management System: Awards.*
- DCPAS Resources and References web site:
<https://www.cpms.osd.mil/Subpage/NewBeginnings/ResourcesReferences/>
- DCPAS HR Toolkit:
<https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Performance-Management/Pages/PM-Guides-TipSheets-Checklists.aspx>
- DCPAS LERD web site
<https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx>
- Corporate Leadership Council. *Building the High-Performance Workforce: A Quantitative Analysis of the Effectiveness of Performance Management Strategies* (Washington D.C.: Corporate Executive Board, 2002)

➤ Are there any questions?

